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Richard Hans Harvey

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EXAMINER

PANNALA, SATHYANARAYA R

ART UNIT

PAPER NUMBER

2164

DATE MAILED: 11/20/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

|                              |                        |  |                      |  |
|------------------------------|------------------------|--|----------------------|--|
| <b>Office Action Summary</b> | <b>Application No.</b> |  | <b>Applicant(s)</b>  |  |
|                              | 09/721,806             |  | HARVEY, RICHARD HANS |  |
|                              | <b>Examiner</b>        |  | <b>Art Unit</b>      |  |
|                              | Sathyanarayan Pannala  |  | 2164                 |  |

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 25 August 2006.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-5,9,10,14-18,22,23 and 27-31 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-5,9,10,14-18,22,23 and 27-31 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### DETAILED ACTION

1. Applicant's Amendment filed on 3/9/2006 has been entered with amended claims 1, 9, 14, 22, and 29 and 31. In this Office Action, claims 1-5, 9-10, 14-18, 22-23 and 27-31 are pending.

#### ***Claim Rejections - 35 USC § 112***

2. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

3. Claims 1, 9, 14, 22 and 31 rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. Claims one of the limitation is "The determination comprises; collecting into a first list, results, associated with one the one or more negative terms, and collecting into a second list, results associated with the one or more positive terms while omitting from the second list any results that are in the first list." The specification on page 9, line 27 to page 10, line 6 stated as "**It should be noted that a database that supports SQL may not supply subtraction operator.** In such instances a problem in processing the sum of terms as described above may arise. In order to process (or evaluate) a subtraction, the method according to the present application: collects all positive terms in a list; collects all negative terms into

another list; and then subtracts the positive term list and the negative term list whilst ignoring duplicates.

An alternative to the subtraction process noted above, is to collect all negative terms in a list, and in the process of collecting all positive terms in another list, only keep the terms that are not in the negative list. As a result, this positive list will have the subtracted results." Applicant has not disclosed what database does not supply subtraction. Whereas the applicant is claiming for all databases instead of a specific database. To expedite the prosecution, Applicant has been give a change to amend the claim to incorporate the specific database by combining the claim 4 with claim 1 and repeating the process for other claims.

### ***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

"A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains.

Patentability shall not be negated by the manner in which the invention was made."

5. Claims 1-5, 9-10, 14-18, 22-23 and 27-31 are rejected under 35 U.S.C. 103(a) as being unpatentable over Corn et al. (US Patent 6,356,892) Corn, in view of Lohman et al. (US Patent 6,112,198) Lohman, and in view of Krishna et al. (US Patent 5,412,804).

6. As per independent claim 1, Corn teaches a method for searching a relational database using hierarchical, filter-based queries such as LDAP (col. 2, lines 31-33). Corn teaches the claimed "evaluating the sum of terms of SQL instruction" as for each filter element, the method continues to generate SQL subquery according to a set of translation rules (Fig. 5, col. 5, lines 40-44 and col. 6, lines 41-49). Corn teaches client machine sending a request (Fig. 1, col. 4, lines 5-7), which is analogous to receiving a service query. However, Lohman teaches the claimed "receiving a service query" as a given query (col. 2, lines 47). Further, Corn teaches the claimed "determining a plurality of results associated with the sum of terms" as the given query is broken up into subtasks and all the subtasks are executed in parallel by the processors (Fig. 6A, col. 8, lines 1-3).

Corn teaches splitting the received query and does not explicitly teach executing subqueries separately (Fig. 5, col. 5, lines 40-42) whereas Lohman teaches the claimed, receiving a service query" as a given query is broken up into subqueries and executing separately in parallel using several processors (col. 2, lines 47-48). Lohman teaches the claimed, "deleting or disregarding at least one duplicate result associated with the sum of terms" duplicates can be deleted (col. 5, lines 30-33). Thus, it would have been obvious to one ordinarily skilled in the art of data processing at the time of the invention, to combine teaching of the cited references because Lohman's teachings would have allowed Corn's method for optimization by executing subqueries on data partitions (col. 1, lines 26-27).

Corn and Lohman do not explicitly teach expanding nested terms into un-nested terms. However, Krishna teaches “obtaining a sum of terms associated with the service query by expanding at least one nested term into one or more un-nested terms” as the alternate method of un-nesting a nested query having a count aggregate (Fig. 12, col. 14, lines 60-61). Thus, it would have been obvious to one ordinarily skilled in the art of data processing at the time of the invention, to combine teaching of the cited references because Krishna’s teachings would have allowed Corn’s method to find a better order of execution by the optimizer for evaluating the un-nested query blocks (col. 2, lines 49-51).

7. As per dependent claim 2, Corn teaches the claimed “expanding each term to remove NOT operators” as if a pair of LDAP filter elements are subject to an LDAP logical operator, the corresponding EID sets are merged using an SQL NOT IN logical operator (Fig. 5, col. 7, lines 50-52).

8. As per dependent claim 3, Corn teaches the claimed “a sum of terms are expanded using Boolean logic” as complex search filters are generated by combining basic filters with Boolean operators (col. 7, lines 3-4).

9. As per dependent claim 4, Corn teaches the claimed “the service query is an X.500 or LDAP service query” as the invention provides hierarchical LDAP searching in

an LDAP directory service having a relational database management as a backing store (Fig. 5, col. 5, lines 33-37).

10. As per independent claim 9, Corn teaches a method for searching a relational database using hierarchical, filter-based queries such as LDAP (col. 2, lines 31-33). Corn teaches the claimed "a database using a plurality of tables, each table having a plurality of rows and columns, and storing arbitrary data" as the invention provides hierarchical LDAP searches using relational tables in the LDAP directory service having a relational database management system as backing store (col. 2, lines 60-63). Corn teaches the claimed "processing a service query" as the method begins at step 60 by parsing an LDAP filter-based query for elements and logical operators for the filter query (Fig. 5, col. 5, lines 37-40). Further, Corn teaches the claimed "evaluating the sum of terms of SQL instruction" as for each filter element, the method continues to generate SQL subquery according to a set of translation rules (Fig. 5, col. 5, lines 40-44 and col. 6, lines 5-7).

Further, Corn teaches the claimed "determining a plurality of results associated with the sum of terms" as the given query is broken up into subtasks and all the subtasks are executed in parallel by the processors (Fig. 6A, col. 8, lines 1-3). Corn does not explicitly teach deleting duplicates. However, Lohman teaches the claimed, "deleting or disregarding at least one duplicate result associated with the sum of terms" duplicates can be deleted (col. 5, lines 30-33). Thus, it would have been obvious to one ordinarily skilled in the art of data processing at the time of the invention, to combine

teaching of the cited references because Lohman's teachings would have allowed Corn's method for optimization by executing subqueries on data partitions (col. 1, lines 26-27).

Corn and Lohman do not explicitly teach expanding nested terms into un-nested terms. However, Krishna teaches "obtaining a sum of terms by expanding at least one nested term into one or more un-nested terms" as the alternate method of un-nesting a nested query having a count aggregate (Fig. 12, col. 14, lines 60-61). Thus, it would have been obvious to one ordinarily skilled in the art of data processing at the time of the invention, to combine teaching of the cited references because Krishna's teachings would have allowed Corn's method to find a better order of execution by the optimizer for evaluating the un-nested query blocks (col. 2, lines 49-51).

11. As per dependent claim 10, Corn teaches the claimed "the directory service arrangement including means to perform X.500 or LDAP services" as the invention provides hierarchical LDAP searching in an LDAP directory service having a relational database management as a backing store (Fig. 5, col. 5, lines 33-37).

12. As per independent claim 14, Corn teaches a method for searching a relational database using hierarchical, filter-based queries such as LDAP (col. 2, lines 31-33). Corn teaches the claimed "mapping the sum of terms to a plurality of SQL instructions" as to provide a method for mapping LDAP search queries into an SQL query (col. 2, lines 51-54). Further, Corn teaches the claimed "determining a plurality of results



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associated with the sum of terms” as the given query is broken up into subtasks and all the subtasks are executed in parallel by the processors (Fig. 6A, col. 8, lines 1-3).

Further, Corn teaches client machine sending a request (Fig. 1, col. 4, lines 5-7), which is an analogous to receiving a service query. However, Lohman teaches the claimed “receiving a directory service query” as a given query (col. 2, lines 47). Corn does not explicitly teach deleting duplicates from the results. However, Lohman teaches the claimed, “deleting or disregarding at least one duplicate result associated with the sum of terms” duplicates can be deleted (col. 5, lines 30-33). Thus, it would have been obvious to one ordinarily skilled in the art of data processing at the time of the invention, to combine teaching of the cited references because Lohman’s teachings would have allowed Corn’s method for optimization by executing subqueries on data partitions (col. 1, lines 26-27).

Corn and Lohman do not explicitly teach expanding nested terms into un-nested terms. However, Krishna teaches “obtaining a sum of terms by expanding at least one nested term into one or more un-nested terms” as the alternate method of un-nesting a nested query having a count aggregate (Fig. 12, col. 14, lines 60-61). Thus, it would have been obvious to one ordinarily skilled in the art of data processing at the time of the invention, to combine teaching of the cited references because Krishna’s teachings would have allowed Corn’s method to find a better order of execution by the optimizer for evaluating the un-nested query blocks (col. 2, lines 49-51).

13. As per dependent claim 15, Corn teaches the claimed “expanding each term to remove NOT operators” as if a pair of LDAP filter elements are subject to an LDAP logical operator, the corresponding EID sets are merged using an SQL NOT IN logical operator (Fig. 5, col. 7, lines 50-52).

14. As per dependent claim 16, Corn teaches the claimed “the sum of terms are expanded using Boolean logic” as complex search filters are generated by combining basic filters with Boolean operators (col. 7, lines 3-4).

15. As per dependent claim 17, Corn teaches the claimed “the service query is an X.500 or LDAP service query” as the invention provides hierarchical LDAP searching in an LDAP directory service having a relational database management as a backing store (Fig. 5, col. 5, lines 33-37).

16. As per dependent claim 18, Corn teaches the claimed “the service query is a search service query” as LDAP provides the capability for directory information to be efficiently queried and it offers a rich set of searching capabilities with which users can put together complex queries to get desired information from a backing store (col. 1, line 65 to col. 2, line 2).

17. As per independent claim 22, Corn teaches a method for searching a relational database using hierarchical, filter-based queries such as LDAP (col. 2, lines 31-33).

Corn teaches the claimed “a database using a plurality of tables, each table having a plurality of rows and columns, and storing arbitrary data” as the invention provides hierarchical LDAP searches using relational tables in the LDAP directory service having a relational database management system as backing store (col. 2, lines 60-63). Further, Corn teaches the claimed “processing a directory service query” as the method begins at step 60 by parsing an LDAP filter-based query for elements and logical operators for the filter query (Fig. 5, col. 5, lines 37-40). Further, Corn teaches the claimed “mapping the sum of terms to a plurality of to SQL instructions” as to provide a method for mapping LDAP search queries into an SQL query (col. 2, lines 51-54). Further, Corn teaches the claimed “determining a plurality of results associated with the sum of terms” as the given query is broken up into subtasks and all the subtasks are executed in parallel by the processors (Fig. 6A, col. 8, lines 1-3).

Corn explicitly does not explicitly teach deleting duplicates from result. However, Lohman teaches the claimed, “deleting or disregarding at least one duplicate result associated with the sum of terms” duplicates can be deleted (col. 5, lines 30-33). Thus, it would have been obvious to one ordinarily skilled in the art of data processing at the time of the invention, to combine teaching of the cited references because Lohman’s teachings would have allowed Corn’s method for optimization by executing subqueries on data partitions (col. 1, lines 26-27).

Corn and Lohman do not explicitly teach expanding nested terms into un-nested terms. However, Krishna teaches “obtaining a sum of terms by expanding at least one

nested term into one or more un-nested terms” as the alternate method of un-nesting a nested query having a count aggregate (Fig. 12, col. 14, lines 60-61). Thus, it would have been obvious to one ordinarily skilled in the art of data processing at the time of the invention, to combine teaching of the cited references because Krishna’s teachings would have allowed Corn’s method to find a better order of execution by the optimizer for evaluating the un-nested query blocks (col. 2, lines 49-51).

18. As per dependent claim 23, Corn teaches the claimed “The directory service arrangement comprising means to perform X.500 or LDAP services” as the invention provides hierarchical LDAP searching in an LDAP directory service having a relational database management as a backing store (Fig. 5, col. 5, lines 33-37).

19. As per dependent claims 27, Corn teaches the claimed, “evaluating the sum of terms comprises converting the sum of terms to a plurality of SQL instructions comprising at least one negative term and subtracting at least one result associated with the at least one negative term” as NOT is excludes entries by negating the IN operation before subquery (col. 3, lines 14-20).

20. As per dependent claims 28, Corn teaches the claimed “identifying at least one term associated with at least one NOT operator and expanding the at least one term associated with the at least one NOT operator into at least one negative term ” as NOT is excludes entries by negating the IN operation before sub-query (col. 3, lines 14-20).

21. As per dependent claims 29, “if the service query comprises a term having at least two NOT operators, deleting or discarding from the sum of terms a third order term having at least two NOT operators” as NOT is excludes entries by negating the IN operation before sub-query (col. 3, lines 14-20).

22. As per dependent claims 30, Corn teaches the claimed “identifying at least one term associated with at least one NOT operator and expanding the at least one term associated with the at least one NOT operator into at least one positive term (Fig. 6A, col. 7, line 66 to col. 8, line 8).

23. As per dependent claims 31, Krishna teaches the claimed “obtaining a plurality of results wherein each separate SQL instruction is associated with one or more results and combining the one or more results associated with each separate SQL instruction” as when query blocks are pipelined, the result of a first query block is specified as input to the predicate of a second query block, but that result is presumed to be evaluated only once before evaluation of the second query block (col. 2, lines 39-43). Further, Corn teaches the claimed, generating a first list comprising one or more results associated with the at least one negative term, generating a second list comprising one or more results associated with the at least one positive term and removing or omitting from the second list one or more results associated with the at least one negative term” (Fig. 6A, col. 3, lines 14-20 and col. 7, line 66 to col. 8, line 8).

### **Response to Arguments**

24. Applicant's arguments filed on 8/25/2006 have been fully considered but they are not persuasive and details are as follows:

- a) Applicant's argument stated as "The Corn-Lohman combination fails to teach, suggest, or disclose 'determining...' (see page 11, paragraph last).

In response to Applicant's argument, Examiner respectfully disagrees, Applicant has been given a chance to amend the independent claims to be more specific to a database. Claims are not fully supported by the specification. Examiner gave an option to Applicant for amending by incorporating the claim 4 into claim 1, because claim 4 is listing two databases, X.500 and LDAP. Further, Applicant was suggested to repeat the same process for other independent claims.

### **Conclusion**

25. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any

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extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Sathyanarayan Pannala whose telephone number is (571) 272-4115. The examiner can normally be reached on 8:00 am - 5:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Charles Rones can be reached on (571) 272-4085. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only.

For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
Sathyanarayan Pannala  
Primary Examiner

srp  
November 11, 2006